

E X A M I N A T I O N A N N O U N C E M E N T

SUPERVISING INSURANCE COMPLIANCE OFFICER, DEPARTMENT OF INSURANCE

OPEN – STATEWIDE

SALARY RANGE \$5,471 - \$6,805



CALIFORNIA STATE DEPARTMENT OF

Insurance

An equal opportunity employer to all regardless of age, ancestry, color, denial of family and medical care leave, disability, gender identity or expression, genetic information, marital status, medical condition, military and veteran status, national origin, political affiliation, race, religion, sex, or sexual orientation of any person.

How to Apply

FINAL FILING DATE: Thursday, October 23, 2014

Send [application \(form STD. 678\)](#) along with a [Training and Experience \(T&E\) Assessment](#) to:

**California Department of Insurance
Human Resources Management Division
300 Capitol Mall, Suite 1300
Sacramento, CA 95814
Attention: Nitika Nitashni**

DO NOT SUBMIT APPLICATIONS (STD. 678) OR T&E ASSESSMENT TO THE CALIFORNIA DEPARTMENT OF HUMAN RESOURCES (CalHR)

Application and the T&E Assessment must be **POSTMARKED** no later than the final filing date. Electronic copies of the Application and T&E Assessment will not be accepted. Applications and T&E Assessments postmarked, personally delivered, or received via interoffice mail after the final filing date will not be accepted for any reason. If you have a disability and need special testing arrangements, mark the appropriate box on the application. You will be contacted to make specific arrangements.

Requirements for Admittance to the Examination

All applicants must meet the educational and/or experience requirements for this examination by **October 23, 2014**.

MINIMUM QUALIFICATIONS

Either I

Experience: One year of experience in the California state service performing the duties of a Senior Insurance Compliance Officer (Specialist), Department of Insurance.

Or II

Experience: Two years of experience in the California state service performing the duties of an Associate Insurance Compliance Officer, Department of Insurance.

Or III

Experience: Five years of progressively responsible qualifying insurance industry experience* including two years in a supervisory capacity responsible for three or more claims adjusters, or underwriters. (Experience in the California state service applied toward this requirement must be at the level of responsibility provided in the promotional pattern.) **and**

Education: Equivalent to graduation from college or equivalent degree approved by the Bureau for Private Postsecondary and Vocational Education under the provisions of California Education Code Division 10, Part 59, Chapter 3. (Additional qualifying experience may be substituted for the required education on a year-for-year basis.)

***Definition of Experience** – Experience at an insurance company working as either:

- 1) An underwriter determining acceptability, coverage, appropriate rating plans, and any judgment based rate deviations or factors; or

	<p>2) A claims adjuster investigating, evaluating, negotiating, and settling claims with respect to coverage, liability, and damages; or</p> <p>3) A fire or casualty insurance agent or broker handling multiple lines of insurance coverage and making determinations regarding coverage needs, risk information, and renewal account servicing; or</p> <p>4) An insurance consumer advocacy position working on consumer issues, complaints, legislation, or insurer compliance.</p>
Position Description	<p>Under general direction, incumbents plan, organize, and direct staff engaged in insurance regulatory and related work, which may include consumer insurance education and outreach functions; assist in establishing bureau policies and procedures; examine, analyze, and evaluate the facts obtained and the provisions of applicable insurance contracts; determine which cases should be referred to attorneys for disciplinary proceedings or forwarded for executive review; act as the final conciliator in the most complex disputes and misunderstandings in an attempt to reach an amicable settlement between insurer and insured; oversee multiple job sites in the examination process; review complaint file documentation or market conduct examination reports to verify that proposed resolutions to violations or examination criticisms are effective and achieve compliance; enforce consistency of operations within the bureau; lead and participate in enforcement actions; prepare written annual performance evaluations for direct report staff; participate in the recruitment and hiring process; develop individual training plans for staff development and provide training; responsible for the most complex and sensitive projects as assigned; conduct quality control reviews of staff work product; represent the bureau at meetings and industry functions as directed by the Bureau Chief; and other related work.</p> <p>Positions are located in Sacramento, San Francisco, and Los Angeles.</p>
Examination Information	<p>EXAMINATION INTERVIEWS WILL NOT BE HELD. This examination will consist of Training and Experience Assessment weighted 100%. To obtain a position on the eligible list, applicants must achieve a minimum rating of 70% on the Assessment.</p> <p>The T&E Assessment will ask you to rate yourself on a series of statements as well as provide written responses to two questions. Both formats are designed to elicit a range of specific information regarding each candidate's knowledge, skill, abilities, and potential to effectively perform the duties relative to the classification. Candidates who meet the "Minimum Qualifications" will have their T&E Assessment rated and successful candidates will be placed on an eligible list. SUBMISSION OF THE T&E ASSESSMENT IS MANDATORY. Candidates who do not submit a completed T&E Assessment will be eliminated from this examination.</p>
Examination Scope	<p>In addition to evaluating the competitor's relative abilities as demonstrated by quality and breadth of experience, emphasis will be on measuring competitively, relative to job demands, each competitor's:</p> <p>Knowledge of:</p> <ol style="list-style-type: none"> 1. California Insurance Code, laws, and regulations relating to insurance and their interpretation. 2. Basic functions and organizations of the Department of Insurance and the insurance industry. 3. General insurance principles.

4. Analytical methods and techniques used for problem identification, data gathering, and decision making.
5. Trends and terminology pertaining to insurance regulations.
6. General insurance, contract law, related statutes, and court decisions.
7. Insurance claims practices and procedures.
8. Compliance techniques, enforcement techniques, and project management processes.
9. Methods of preparing project reports and project reporting techniques.
10. Research methods and techniques.
11. Principles, practices, and trends of public and business administration.
12. Administrative and court decisions affecting the regulations of the insurance industry.
13. Insurance codes, laws and regulations, legal opinions, court decisions, California Department of Insurance bureau policies and procedures in order to apply compliance procedures (e.g., California Insurance Codes, California Code of Regulations).
14. Supervisory principles, practices, and techniques to plan, oversee, and direct the work activities of subordinate employees.
15. The department's Equal Employment Opportunity program objectives.
16. A supervisor's role in the Equal Employment Opportunity program and the processes available to meet those objectives.

Ability to:

1. Interpret and apply provisions of the California Insurance Code, laws, rules, and regulations administered by the Department of Insurance.
2. Analyze situations accurately and take effective action.
3. Use tact and good judgment in dealing with the public both on the telephone and in person.
4. Conduct interviews.
5. Learn to utilize microcomputer systems and standard software applications in the performance of work.
6. Communicate effectively.
7. Travel countrywide to examine insurer operations (field staff only).
8. Independently apply insurance statutes and court decisions to specific cases.
9. Gather, organize, and summarize data.
10. Reason logically and creatively.
11. Utilize a variety of analytical and research techniques and approaches to resolve complex insurance regulatory problems.
12. Develop and evaluate alternative solutions.
13. Analyze data and present ideas and information effectively.
14. Prepare reports.
15. Gain and maintain the confidence and cooperation of those contacted during the course of work.
16. Prepare complete, concise, and clear insurance proposals and reports.
17. Act in a lead capacity over lower-level staff and handle sensitive client contacts.
18. Apply negotiation and mediation techniques to resolve consumer complaints.
19. Take independent action with minimal supervision.
20. In a lead capacity, direct, train, and review the work of lower-level staff.

	<p>21. Liaison and negotiate between the Department of Insurance, other State and local agencies, and private insurance organizations.</p> <p>22. Plan, organize, and provide persuasive and skilled leadership in insurance project work.</p> <p>23. Develop, review, and guide plans and projects for good results.</p> <p>24. Effectively apply compliance procedures and/or the provisions of the relevant laws, legal opinions, court decisions, and departmental policies.</p> <p>25. Oversee the implementation of projects.</p> <p>26. Represent the Department of Insurance before other governmental, public, and private agencies.</p> <p>27. Coordinate program operations with that of other divisions and organizations.</p>
Special Personal Characteristics	Willingness to travel and work away from the office.
Eligible List Information	<p>A departmental open eligible list will be established for the California Department of Insurance. The list will be abolished 12 months after it is established unless the needs of the service and conditions of the list warrant a change in this period.</p> <p>Career Credits will not be granted in this examination. Veterans' Preference will be granted in this examination. Effective January 1, 2014, in accordance with Government Code 18973.1 and 18973.5, whenever any veteran, widow or widower of a veteran, or spouse of a 100 percent disabled veteran achieves a passing score on an open examination, he or she shall be ranked in the top rank of the resulting eligibility list. This section shall not apply to any veteran who has been dishonorably discharged or released.</p>

GENERAL INFORMATION

The Department of Insurance reserves the right to revise the examination plan to better meet the needs of the service if the circumstances under which this examination was planned change. Such revision will be in accordance with civil service laws and rules and all competitors will be notified.

For an examination without a written feature, it is the candidate's responsibility to contact the California Department of Insurance, Human Resources Management Division, (916) 492-3254 three weeks after the final filing date if he/she has not received a progress notice.

If a candidate's notice of oral interview or performance test fails to reach him/her prior to the day of the interview due to a verified postal error, he/she will be rescheduled upon written request.

Applications are available at the Department of Insurance offices, the State Personnel Board, local offices of the Employment Development Department, and on the internet at www.jobs.ca.gov.

If you meet the requirements stated on the reverse, you may take this examination. Your performance in this examination will be rated against predetermined rating criteria. All competitors who pass will be ranked according to their scores. Meeting the entry requirements does not assure success in the examination or placement on the employment list.

Examination Locations: When a written test is part of the examination, it will be given in such places in California as the number of candidates and conditions warrant. Ordinarily, oral interviews are scheduled in Sacramento, San Francisco, and Los Angeles. However, locations of interviews may be limited or extended as conditions warrant.

Eligible Lists: Eligible lists established by competitive examination, regardless of date, are used in the following order: 1) subdivisional promotional, 2) departmental promotional, 3) multi-departmental promotional, 4) servicewide promotional, 5) departmental open, and 6) open. When there are two lists of the same kind, the older must be used first. Eligible lists will expire in one to four years unless otherwise stated on this bulletin.

General Qualifications: Candidates must possess essential personal qualifications including integrity, initiative, dependability, good judgment, and ability to work cooperatively with others. Candidates must be in a state of health consistent with the ability to perform the assigned duties of the class. A medical examination may be required. In open examinations, investigation may be made of employment of records and personal history and fingerprinting may be required.

California Relay (Telephone) Service for the Deaf or Hearing impaired:
From TDD phones: 1-800-735-2929, from voice phones: 1-800-735-2922

California Department of Insurance
Human Resources Management Division
300 Capitol Mall, Suite 1300
Sacramento, CA 95814
(916) 492-3300

Release Date: 10/09/14
NN / MA

It is an objective of the State of California to achieve a drug-free state work place. Any applicant for state employment will be expected to behave in accordance with this objective because the use of illegal drugs is inconsistent with the law of the state, the rules governing civil service and the special trust placed in public servants.
